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| APPLICATION NO.   | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|-------------|----------------------|---------------------|------------------|
| 09/976,098  | 10/15/2001  | Hiroaki Yoshino      | 35.G2919            | 9468             |
| 5514  | 7590        | 06/21/2005           | EXAMINER            |                  |
| FITZPATRICK CELLA HARPER & SCINTO<br>30 ROCKEFELLER PLAZA<br>NEW YORK, NY 10112 |             |                      | JACKSON, JAKIEDA R  |                  |
|   |             |                      | ART UNIT            | PAPER NUMBER     |
|   |             |                      | 2655                |                  |

DATE MAILED: 06/21/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                   |                |  |
|------------------------------|-------------------|----------------|--|
| <b>Office Action Summary</b> | Application No.   | Applicant(s)   |  |
|                              | 09/976,098        | YOSHINO ET AL. |  |
|                              | Examiner          | Art Unit       |  |
|                              | Jakieda R Jackson | 2655           |  |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 20 December 2004.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-18 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-18 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All    b) ☐ Some \*    c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)             | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)    | Paper No(s)/Mail Date. _____  |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                                    |

## DETAILED ACTION

### *Response to Amendment*

1. In response to the Office Action mailed September 20, 2004, applicant submitted an amendment filed on December 20, 2004, in which the applicant traversed and requested reconsideration with respect to **claims 1, 4-8 and 11-18**.

### *Response to Arguments*

2. Regarding independent claims 1, 8 and 15-18, applicant(s) argue that Keiller does not suggest comparing a pattern of recognized character string with a pattern of a recording character string indicating a sentence to be recorded.

However, Keiller teaches that if the results are consistent, they are used to generate a model for word being trained (column 15, lines 27-30, so inherently, the generated model is stored (recorded) to a memory means (see also column 16, lines 12-15).

Applicant(s) also argue that according to Keiller, a user's first utterance is compared to a user's second utterance, in which Keiller is "checking the consistency between two training words". That is, the apparatus checks two training example (user's utterances) are consistent, in order to generate a word model. However, according to the applicant's invention as claimed, the user's utterance is compared to a recorded character string stored in storage.

Applicant's arguments are not persuasive. Keiller teaches that after the system has been trained, the speech recognition system can then compare the input utterance

from a user with the stored word models in order to provided a recognition result (column 16, lines 16-19).

Regarding claims 4-7 and 11-14, applicant(s) argue that Ballard is not seen to suggest "presenting an unmatched portion....to a user as a result of performing DP matching...", as claimed. Specifically, according to Ballard it is the user who marks the misrecognized words, in which the apparatus does not present the misrecognized word to the user in the manner claimed.

Applicant's arguments, see remarks, filed December 20, 2004, with respect to the rejection(s) of claim(s) 4-7 and 11-14 under 103 have been fully considered and are persuasive. Therefore, the rejection has been withdrawn. However, upon further consideration, a new ground(s) of rejection is made in view of Yu.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. <sup>9, 10,</sup>  
<sub>1,</sub> **Claims 1-3, 8 and 15-18** are rejected under 35 U.S.C. 102(e) as being anticipated by Keiller (USPN 6,560,575).

Regarding claims **1, 8, and 15**, Keiller discloses an apparatus, method and system for recording speech, to be used as learning data in speech recognition processing, comprising:

storage means for storing a recording character string indicating a sentence to be recorded (column 16, lines 12-19);

recognition means for recognizing input speech used as the learning data so as to obtain a recognized character string (input is taken as two training examples: one a new example and one an already existing example; column 15, lines 25-35);

determination means for comparing a pattern of the recognized character string with a pattern of the recording character string stored in said storage means so as to obtain a matching rate therebetween, and determining whether said matching rate exceeds a predetermined level (system checks whether training examples are consistent (column 15, lines 28-30) by computing the consistency scores (column 15, lines 53-65) and comparing the result again against the threshold (95%, column 16, lines 6-8)); and

recording means for recording the input speech as the learning data when it is determined by said determination means that said matching rate exceeds a predetermined level (if the results are consistent, they are used to generate a model for word being trained (column 15, lines 27-30), so inherently, the generated model is stored (recorded) to some memory means (see also column 16, lines 12-15)).

Regarding **claims 2 and 9**, Keiller discloses an apparatus and method further comprising re-input instruction means for issuing an instruction to input speech once

again when it is determined by said determination means for issuing an instruction to input speech once again when it is determined by said determination means that said matching rate does not exceed the predetermined level (if words do not match, the system required a new example; column 15, lines 32-35).

Regarding **claims 3 and 10**, Keiller discloses an apparatus and method wherein said determination means determines said matching rate by performing DP matching between the recognized character string pattern and the recording character string pattern (dynamic programming is used to determine whether the inputted words are consistent with each other; column 14, lines 48-55 with column 15, lines 54-65).

Regarding **claim 16**, Keiller discloses a speech recognition method comprising:  
a learning recognition step of recognizing input speech, to be used as learning data, so as to obtain a recognized character string (input is taken as two training examples: one a new example and one an already existing example; column 15, lines 25-35);

a determination step of comparing a pattern of the recognized character string with a pattern of a recording character string indicating a sentence to be recorded so as to obtain a matching rate therebetween, and of determining whether said matching rate exceeds a predetermined level (system checks whether training examples are consistent (column 15, lines 28-30) by computing consistency scored (column 15, lines 53-65) and comparing the result against a threshold (95%, column 16, lines 6-8));

a recording step of recording the input speech as the learning data when it is determined in said determination step that said matching rate exceeds a predetermined

level (if results are consistent, they are used to generate a model for word being trained (column 15, lines 27-30), so inherently, the generated model is stored (recorded) to a memory means (column 16, lines 12-19));

a learning step of performing learning on a speech model by using the input speech recorded in said recording step (the process described above provides general training of the model; column 16, lines 14-20); and

a recognition step of recognizing unknown input speech by using the speech model learned in said learning step (training data is used in general recognition; column 16, lines 14-20).

Regarding **claims 17 and 18**, Keiller discloses a control program having computer readable program code and a speech recognition method, comprising:

a first program code unit for recognizing input speech used as the learning data so as to obtain a recognized character string pattern (input is taken as two training examples: one a new example and one an already existing example; column 15, lines 25-35);

a second program code unit for comparing a pattern of the recognized character string with a pattern of recording character string indicating a sentence to be recorded so as to obtain a matching rate therebetween, and of determining whether said matching rate exceeds a predetermined level system checks whether training examples are consistent (column 15, lines 28-30) by computing consistency scored (column 15, lines 53-65) and comparing the result against a threshold (95%, column 16, lines 6-8);

a third program code unit for recording the input speech as the learning data when it is determined in said determination step that said matching rate exceeds a predetermined level (if results are consistent, they are used to generate a model for word being trained (column 15, lines 27-30), so inherently, the generated model is stored (recorded) to a memory means (column 16, lines 12-19));

a fourth program code unit for performing learning on a speech model by using the input speech recorded in said record step (the process described above provides general training of the model; column 16, lines 14-20); and

a fifth program code unit for recognizing unknown input speech by using the speech model learned in said learning step (training data is used in general recognition; column 16, lines 14-20).

### ***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. **Claims 4-7 and 11-14** rejected under 35 U.S.C. 103(a) as being unpatentable over Keiller in view of Yu (USPN 6,556,841).

Regarding **claims 4 and 11**, Keiller discloses an apparatus and method for recording speech, to be used as learning data in speech recognition processing, but



lacks further comprising presentation means for presenting an unmatched portion between the recognized character string pattern and the recording character string pattern to a user as a result of performing the DP matching by said determination means.

Yu discloses a speech correction device further comprising presentation means for presenting an unmatched portion (no substantial match) between the recognized character string pattern (character strings) and the recording character string pattern to a user as a result of performing the DP matching by said determination means (plurality of character strings stored in a dictionary; column 5, lines 15-22), for implementing spell checking and correcting applications.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Keiller's apparatus and method further comprising presentation means for presenting an unmatched portion between the recognized character string pattern and the recording character string pattern to a user as a result of performing the DP matching by said determination means, to identify unrecognized character strings (e.g. misspelled words) and to provide a notification or indication (column 6, lines 26-28).

Regarding **claims 5 and 12**, Keiller discloses an apparatus and method for recording speech, to be used as learning data in speech recognition processing, but lacks wherein said presentation means presents the unmatched portion so as to identify the type of error as an insertion error, a missing error, or a substitute error, as a result of performing the DP matching by said determination means.

Yu discloses a speech correction device wherein said presentation means presents the unmatched portion so as to identify the type of error (column 5, line 35) as an insertion error (adding the character input; column 3, lines 46-52), a missing error (? indicates that variations due; column 8, lines 44-47), or a substitute error (character substitution; column 8, lines 3-29 with column 7, lines 41-42 and lines 61-66), as a result of performing the DP matching by said determination means (column 7, lines 11-42), for notification and identification of unrecognized words.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Keiller's apparatus and method wherein said presentation means presents the unmatched portion so as to identify the type of error as an insertion error, a missing error, or a substitute error, as a result of performing the DP matching by said determination means, to identify unrecognized character strings (e.g. misspelled words) and to provide a notification or indication (column 6, lines 26-28).

Regarding **claims 6 and 13**, Keiller discloses an apparatus and method for recording speech, to be used as learning data in speech recognition processing, but lacks wherein said presentation means simultaneously displays the recognized character string and the recording character string on a screen by changing a character attribute or a background attribute of an unmatched portion or a matched portion of at least one of the recognized character string and the recording character string.

Yu discloses a speech correction device wherein said presentation means simultaneously displays the recognized character string and the recording character

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string on a screen by changing a character attribute or a background attribute of an unmatched portion or a matched portion of at least one of the recognized character string and the recording character string, (underlined, bold, italics etc.; column 6, lines 8-18), for notification and identification of unrecognized words.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Keiller's apparatus and method wherein said presentation means simultaneously displays the recognized character string and the recording character string on a screen by changing a character attribute or a background attribute of an unmatched portion or a matched portion of at least one of the recognized character string and the recording character string, to identify unrecognized character strings (e.g. misspelled words) and to provide a notification or indication (column 6, lines 26-28).

Regarding **claims 7 and 14**, Keiller discloses an apparatus and method for recording speech, to be used as learning data in speech recognition processing, but lacks wherein said presentation means simultaneously displays the recognized character string and the recording character string on a screen by causing unmatched portion or matched portion of at least one recognized character string and the recording character string to blink (flashing; column 6, lines 8-18), for notification and identification of unrecognized words.

Yu discloses a speech correction device wherein said presentation means simultaneously displays the recognized character string and the recording character

string on a screen by causing unmatched portion or matched portion of at least one recognized character string and the recording character string to blink.

Therefore, it would have been obvious to one of ordinary skill in the art at the time the invention was made to modify Keiller's apparatus and method wherein said presentation means simultaneously displays the recognized character string and the recording character string on a screen by causing unmatched portion or matched portion of at least one recognized character string and the recording character string to blink, to identify unrecognized character strings (e.g. misspelled words) and to provide a notification or indication (column 6, lines 26-28).

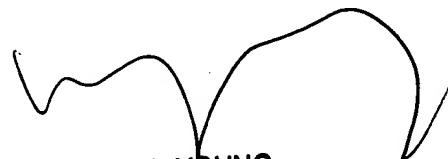
### ***Conclusion***

7. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jakieda R Jackson whose telephone number is 571.272.7619. The examiner can normally be reached on Monday through Friday from 7:30 a.m. to 5:00p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Wayne Young can be reached on 571.272.7582. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

JRJ  
June 15, 2005



W. R. YOUNG  
PRIMARY EXAMINER